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JC10 Rec'd PCT/PTO 30 MAR 2005

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q85741

Joon Youb LEE, et al.

Appln. No.: 10/521,313

Group Art Unit: Unknown

Confirmation No.: Unknown

Examiner: Unknown

Filed: January 14, 2005

For: HER-2 NEU DNA VACCINE HAVING ANTI-CANCER ACTIVITY

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

1. Tetsu AKIYAMA et al.; "The Product of the Human c-erbB-2 Gene: A 185 Kilodalton Glycoprotein With Tyrosine Kinase Activity"; Science Article; Vol. 232; 27 June 1986; pp. 1644-1646.
2. Dennis J. SLAMON et al.; "Human Breast Cancer: Correlation of Relapse and Survival With Amplification of the HER-2/neu Oncogene"; Science Articles; Vol. 235; 9 January 1987; pp. 177-182.

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3. Michael S. EWER et al.; "Cardiotoxicity in Patients Receiving Trastuzumab (Herceptin): Primary Toxicity, Synergistic or Sequential Stress, or Surveillance Artifact"; Seminars in Oncology; Vol. 26; No. 4; Suppl. 12 (August) 1999; pp. 96-101.
4. Hiroya KOBAYASHI et al.; "Defining Promiscuous MHC Class II Helper T-Cell Epitopes for the HER2/neu Tumor Antigen"; Cancer Research 60; September 15, 2000; pp. 5228-5236

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

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The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,



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Date: March 30, 2005

Substitute for Form 1449 A & B/PTO

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Complete if Known

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Substitute for Form 1449 A & B/PTO		MAR 30 2005	Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	10/521,313
			Confirmation Number	Unknown
			Filing Date	January 14, 2005
			First Named Inventor	Joon Youb LEE
			Art Unit	Unknown
			Examiner Name	Unknown
			Attorney Docket Number	O85741
Sheet	1	of	1	

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶
		Tetsu AKIYAMA et al.; "The Product of the Human <i>c-erbB-2</i> Gene: A 185-Kilodalton Glycoprotein With Tyrosine Kinase Activity"; Science Article; Vol. 232; 27 June 1986; pp. 1644-1646.	
		Dennis J. SLAMON et al.; "Human Breast Cancer: Correlation of Relapse and Survival With Amplification of the HER-2/neu Oncogene"; Science Articles; Vol. 235; 9 January 1987; pp. 177-182.	
		Michael S. EWER et al.; "Cardiotoxicity in Patients Receiving Trastuzumab (Herceptin): Primary Toxicity, Synergistic or Sequential Stress, or Surveillance Artifact"; Seminars in Oncology; Vol. 26; No. 4; Suppl. 12 (August) 1999; pp. 96-101.	
		Hiroya KOBAYASHI et al.; "Defining Promiscuous MHC Class II Helper T-Cell Epitopes for the HER2/neu Tumor Antigen"; Cancer Research 60; September 15, 2000; pp. 5228-5236.	

Examiner Signature _____ **Date Considered** _____

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to indicate here if English language Translation is attached.